
2J

Information

General Session

Commission's 1-Year Response to the Bureau of State Audits Report

Executive Summary: This agenda item includes a copy of the Commission's 1-Year response to the 2004 Bureau of State Audits Report on the Commission. Staff will describe the changes incorporated into this document after the Commission's discussion of this item at the October 2005 meeting.

Recommended Action: This report was submitted to the Bureau of State Audits on November 9, 2005, as required. No further action is required at this time.

Presenter: Sam W. Swofford, Executive Director, and senior staff.

Strategic Plan Goal: 1

Promote educational excellence through the preparation and certification of professional educators

- ◆ Sustain high quality standards for the preparation of professional educators.
- ◆ Assess and monitor the efficacy of the Accreditation System, Examination System, and State and Federal Funded Programs.

Commission's 1-Year Response to the Bureau of State Audits Report

Introduction

In November 2004, the California State Auditor, Bureau of State Audits (BSA), issued its report, *California Commission on Teacher Credentialing: It Could Better Manage Its Credentialing Responsibilities*. The report included numerous findings and recommendations. The full report can be viewed on-line at www.bsa.ca.gov/bsa.

Background

The California State Auditor, Bureau of State Audits, conducts audits of state agencies, boards and commissions as a result of requests submitted to the Joint Legislative Audit Committee (JLAC). On April 8, 2004 the JLAC, acting on a request by Assemblymember Pavley, approved an audit of the Commission on Teacher Credentialing (Commission) and the State's teacher credentialing process. The BSA was directed to focus on the effectiveness and efficiency of the credentialing process, including any potential duplication of efforts within state agencies that provide development and continuing training of teachers.

The California State Auditor indicated in its analysis of the request that they would independently develop and verify information related to the teacher credentialing process, with a focus on the effectiveness and efficiency, and would include, but not be limited to, the following:

1. Review and evaluate the laws, rules and regulations relevant to the issues.
2. Review and evaluate the Commissions' policies and procedures for evaluating the effectiveness of the teacher credentialing process. Specifically, the audit would:
 - a. Examine the Commission's process of establishing and evaluating teacher and administrator standards.
 - b. Determine whether the Commission evaluates the effectiveness of its training, development, and certification practices, including whether it has established and met meaningful performance measures.
 - c. To the extent possible, determine whether any barriers exist that prevent qualified teachers from becoming certified.
3. Review and evaluate the efficiency of the process by examining the following:
 - a. Examine the roles and responsibilities of the Commission and other entities involved in the teacher training, development, and credentialing process to determine if activities are coordinated and if processes can be streamlined.
 - b. Review the Commission's policies and procedures for handling applications. Identify any backlog that exists. For a sample of applications, determine the

average processing time. For any outliers, identify causes for or contributors to delayed processing.

Prior to the issuance of a final audit report, the audited agency is provided with the opportunity to respond to the findings and recommendations. This original response is then included in the final report. The public body that is audited is then provided with three opportunities -- 60 days, 6 months, and one year after the BSA releases its final report -- to describe the progress it is making to implement the findings and recommendations. The responses are required to include the agency's efforts to implement the recommendations that are within its statutory authority and the steps taken to rectify the issues presented in the report.

In keeping with the above described process, the Commission provided its original response to the draft report on October 20, 2004. This response was reproduced in the body of the final report that was published and released in November of 2004. The Commission then provided its 60 day response on January 7, 2005, and its 6 month response on May 9, 2005.

The Commission discussed a draft 1-year response to the report at its October 6, 2005, Commission meeting. Representatives of the Bureau of State Audits were present and participated in the discussion with members of the Commission and staff.

As a result of that discussion, Commission staff made numerous changes to the draft report. In response to the Commission's concern that a sufficient level of specificity be provided, subsequent drafts were shared with the BSA's representatives for their review and comment. Commission staff made further refinements to the document to respond to the auditors' comments and questions. The final draft was shared with the Chair of the Commission prior to submission to the BSA on November 9, 2005.

Commission staff will describe the nature of the changes incorporated in the document resulting from the Commission's discussion as well as those comments and questions posed by the auditors after the Commission's October meeting.

CALIFORNIA COMMISSION ON TEACHER CREDENTIALING
Responses To BSA Audit Report Recommendations

Audit Report Recommendations	Commission Responses
CHAPTER 1	
<p>To determine their success, the Commission should establish performance measures for each of its teacher development programs. In addition, the Commission should do the following:</p> <ul style="list-style-type: none"> • Ensure that the statistics it presents in its program reports are consistent and that it maintains the support for these statistics. • Monitor how local teacher development programs assess the academic progress of participants and establish consequences for underperformance. • Resume requests for budget augmentations to fund an independent evaluation of its paraprofessional program that assesses all the requirements in the applicable statute or seek to amend those parts of the law that it believes would be too costly to implement. 	<p>The Commission agrees and has established performance measures for each of its teacher development programs. It has revised its Competitive Grant Proposal process for its teacher development programs to include additional performance measures such as candidate surveys, budgets, retention surveys, consent forms including demographic data, and program improvement plans. In addition, the Commission will:</p> <ul style="list-style-type: none"> • Ensure that the statistics it presents in its program reports are consistent and that it maintains the support for these statistics by providing program participants with a required report format and instructions on how to prepare the report. It will also retain records of the reports for 5 years. • Monitor how local teacher development programs assess the academic progress of participants and establish consequences for underperformance. CTC staff now collects candidate level data from the programs. Program sponsors will be required to provide annual reports on the academic progress of participants. The consent form process created by Commission staff in 2001 is used to track candidate enrollment in each of the teacher development programs. The Commission will set up procedures establishing consequences for underperformance. The progressive remediation will include: first, a letter to the program director, then a letter to the program Dean, then increased oversight, and finally, loss of funds. Staff will seek permission from the Commission to establish performance criteria that could include expending all funds according to approved program budget plans and demonstrating that 100% of program participants have met their yearly academic goals.

CALIFORNIA COMMISSION ON TEACHER CREDENTIALING
Responses To BSA Audit Report Recommendations

Audit Report Recommendations	Commission Responses
	<ul style="list-style-type: none"> Resume requests for budget augmentations to fund an independent evaluation of its paraprofessional program that assesses all the requirements in the applicable statute. The Commission staff will seek permission from the Commission to submit a BCP in Fall 2006 to fund the independent evaluation of its paraprofessional program during the 2007-08 fiscal year.
<p>To provide context to education professionals and policy makers for why credential, permit, and waiver numbers have changed, the Commission should include an analysis with the statistics it publishes in its annual reports.</p>	<p>To provide context to education professionals and policy makers for why credential, permit, and waiver numbers have changed, the Commission will include an analysis with the statistics it publishes in its annual reports. In addition, the Commission staff will continue to provide data upon request to independent bodies that conduct analyses of education issues.</p>
<p>The Commission should collaborate with colleges and universities to determine what funding is necessary to activate and maintain the teaching performance assessment, as envisioned by the enabling legislation. They should then request the Legislature and governor's office to authorize the function in future budget acts.</p>	<p>The Commission will collaborate with colleges and universities by Spring of 2006 to determine what funding is necessary to activate and maintain the teaching performance assessment, as envisioned by the enabling legislation. Currently, the TPA is administered on a voluntary basis and is locally administered at the university, district or county office of education. The Commission staff is continuing to conduct workshops for institutions for the purpose of training assessors. Commission staff continues to work with colleges and universities to implement the TPA on a voluntary basis.</p> <p>The Commission staff agrees that full implementation of the TPA would help complete the vision of SB 2042. The alternative to the current model is a regional assessment model in which the TPA would be administered and assessed at regional scoring centers. Changing to this model would allow the establishment of a uniform passing standard, which would provide data that could be</p>

CALIFORNIA COMMISSION ON TEACHER CREDENTIALING
Responses To BSA Audit Report Recommendations

Audit Report Recommendations	Commission Responses
	<p>used in the accreditation of institutions of higher education. Should a regional assessment model be used, staff estimates it would require approximately \$400 per candidate to implement and maintain the Teaching Performance Assessment (TPA) on a statewide basis. This estimate is based on the cost of administering and scoring the exam at regional scoring centers, the establishment of a uniform passing standard, training individuals to score the assessments, and periodic validity studies to maintain a rigorous assessment. Different scoring models could increase or decrease the estimate.</p> <p>The issues related to the TPA have been raised with the Secretary of Education's Office. The Commission will continue to provide the Secretary with information and awaits further direction on this issue from the Administration.</p>
<p>The Legislature may wish to consider giving the Commission a specific policy directive to obtain and use teacher retention data to measure the performance of the teaching credential process and of teacher preparation programs and provide this information in its annual reports.</p>	<p>The Commission agrees that teacher retention data would be helpful information for policy makers to have. Such data could be useful in analyzing the effect teacher preparation programs, induction programs, and employment conditions have on teacher retention. To date, the cost for the collection of such data to both state and local agencies have hampered progress in this area. Further, such an effort requires an integrated data collection system and coordination with other state entities. To that end, the Commission has been actively participating in such a multi-agency effort, led by the California Department of Education. This multi-agency effort has been focused on developing a Teacher Data System (TDS). In October 2005, the Governor signed legislation that would provide resources to support a feasibility study for the TDS. This will allow significant progress to be made in this area. The Commission will continue to participate fully in this effort.</p>

CALIFORNIA COMMISSION ON TEACHER CREDENTIALING
Responses To BSA Audit Report Recommendations

Audit Report Recommendations	Commission Responses
<p>To aid it in developing performance measures for teacher preparation programs, the Commission should keep itself informed of surveys and reports that are prepared by other entities such as the administrator survey the CSU is developing.</p>	<p>The Commission staff will keep itself informed of surveys and reports that are prepared by other entities. The Commission is aware of, and has commended, the efforts of the CSU in developing its annual employer survey. The Commission staff will expand its review of surveys and reports with a monthly review of the internet and education publications.</p> <p>The systematic collection of valid and reliable data gathered through surveys and performance assessments is under consideration as part of the Commission's review of its accreditation system. The recommendations from this were presented to the Commission at its October 2005 meeting. The Commission directed staff to send the recommendations to the field for review and comment. The survey instrument is being drafted and should be available for public comment by December 1, 2005.</p>
<p>The Commission's executive office should present the Commissioners with an annual status report on how the Commission has achieved the goals and tasks outlined in the strategic plan.</p>	<p>The Commission's executive office will present the Commissioners with an annual status report on how the Commission staff has achieved the goals and tasks outlined in the strategic plan. This topic was discussed during the Executive Committee meeting on May 31, 2005. The Executive Director will reformat his annual report of accomplishments to fit the strategic plan.</p>
<p>The Commission should continue to consider ways to streamline the teacher credentialing process, such as the consolidation of examinations required of credential candidates. If the Commission determines that specific requirements are no longer necessary credential requirements, it should seek legislative changes to applicable statutes.</p>	<p>The Commission's staff continues to streamline the teacher credentialing process. The Commission staff is gathering information from stakeholders and constituencies and obtaining technical assistance on the feasibility and advisability of exam consolidation. Meetings on this issue were held through September 2005. The results of these meetings will be presented to the Commission in early 2006 for its consideration.</p>

CALIFORNIA COMMISSION ON TEACHER CREDENTIALING
Responses To BSA Audit Report Recommendations

Audit Report Recommendations	Commission Responses
CHAPTER 2	
<p>To ensure that the public information it provides meets the needs of its customers, the certification division should routinely update its Web site and leaflets based on an analysis of customer data. Specifically, the certification division should do the following:</p> <ul style="list-style-type: none"> • Use the phone system report to its full potentials by identifying specific areas where the certification division can improve the information it communicates to the general public on the web site and in leaflets. • Gather meaningful data about the types of e-mail questions the certification division receives and use the data to improve the information it communicates to the general public on the Web site and in leaflets. • Ensure that the information presented on the Web site is accurate and easy for customers to use. 	<p>The certification division will continue to routinely update its Web site and leaflets based on an analysis of customer data. The Commission staff has developed protocols to update information, specifically:</p> <ul style="list-style-type: none"> • Staff now use the phone system report to its full potential by identifying specific areas where the certification division can improve the information it communicates to the general public on the Web site and in leaflets. For example the web page now includes a question and answer section. • The staff now gathers data about the types of e-mail questions the certification division receives and uses the data to improve the information it communicates to the general public on the Web site and in leaflets. For example, the Web site has a question and answer format for out-of-state trained teachers to assist them in determining which of the five options apply to them. • The staff now ensures that the information presented on the Web site is accurate and easy for customers to use. Staff has developed a completely new Web site that was implemented on January 3, 2005. The new Web site is designed to respond to the questions that the Commission's customers have been asking. This new web design should reduce the time staff spends responding to questions.
<p>To improve the efficiency of e-mail processing, the certification division should automate its response to and routing of e-mails.</p>	<p>To improve the efficiency of e-mail processing, the certification division has automated its response to and routing of e-mails. All incoming e-mails are now sorted automatically to each processing team.</p>

CALIFORNIA COMMISSION ON TEACHER CREDENTIALING
Responses To BSA Audit Report Recommendations

Audit Report Recommendations	Commission Responses
<p>To ensure the effective management of the unit's application workload, the certification division should routinely monitor the composition of the applications that are waiting to be processed, and collect and analyze data on the average review times for different types of applications.</p>	<p>To ensure the effective management of the unit's application workload, the certification division is routinely monitoring the composition of the applications that are waiting to be processed, and collecting and analyzing data on the average review times for different types of applications.</p> <p>Since the implementation of TCSIP, which started February 28, 2005, the Commission staff monitors the average processing time for each processing team. The Division has also started to prepare a zero-based budget for 2006-2007, which will include a time management study for each type of application.</p>
<p>To ensure that the certification division continues to meet the 75-business-day regulatory limit, the certification division should routinely create automated reports from TCSIP to track the average processing times and regularly list all applications that have taken more than 75 business days to process.</p>	<p>The certification division will routinely create automated reports from TCSIP to track the average processing times and regularly list all applications that have taken more than 75 business days to process.</p> <p>The Commission's technology staff continues to devote all of its time to improving the new system and is still working to develop the processing report. This report will be a valuable tool once developed.</p>
<p>To ensure that it optimizes the timesaving benefits of TCSIP, the certification division should use automated processes rather than manual ones where possible. Specifically, the certification division should do the following:</p> <ul style="list-style-type: none"> • Require colleges and universities to submit credential applications to the commission electronically to the extent that is economically feasible. • Consider expanding TCSIP to allow school districts to submit applications electronically and to allow the virtual credential officer to process routine applications. 	<p>To ensure that it optimizes the timesaving benefits of TCSIP, the certification division will use automated processes rather than manual ones where possible. Specifically, the certification division:</p> <ul style="list-style-type: none"> • Has convened and is working with an Information Technology Work Group with representatives from colleges and universities, county offices of education and school districts. The purpose of the Work Group is to ensure the effective implementation of a process that will allow all Commission stakeholders to submit initial applications via the Internet. The Commission has made

CALIFORNIA COMMISSION ON TEACHER CREDENTIALING
Responses To BSA Audit Report Recommendations

Audit Report Recommendations	Commission Responses
	<p>significant progress on this project with respect to colleges and universities. Several important issues remain to be resolved with respect to the electronic submission of initial applications by school districts and county offices of education.</p> <p><u>Colleges and Universities</u> The recommendation to require colleges and universities to submit credential applications to the commission electronically to the extent that is economically feasible is being addressed. The 2005-2006 Budget Act included language that requires the colleges and universities to submit their applications online. The Commission staff expects to have the online system for electronic submission of applications fully functional by January 2006. Once this is complete, Commission staff will begin the next phase of the project which is to enhance the on-line process to include automated processing of applications from college and universities. This phase will begin during the 2005-06 budget year with a projected completion date of February 2007.</p> <p><u>School Districts/County Offices of Education</u> The recommendation to consider expanding TCSIP to allow school districts to submit applications electronically and to allow the virtual credential officer to process routine applications is being addressed by Commission staff in consultation with the Information Technology Work Group. A number of technological, fiscal, and logistical issues remain at both the state and local district levels before the Commission staff could begin to implement this particular recommendation.</p>

CALIFORNIA COMMISSION ON TEACHER CREDENTIALING
Responses To BSA Audit Report Recommendations

Audit Report Recommendations	Commission Responses
	<p>The Work Group is actively engaged in working through these issues and the Commission staff is projecting an implementation date of July 2007 for districts to be able to submit applications electronically.</p>
<p>To encourage more customers to renew their credentials online, the certification division should gather data on and study the percentage of renewals it received online for different types of credentials to identify areas where additional outreach efforts may be necessary. Also, the certification division should do the following:</p> <ul style="list-style-type: none"> • Publicize the fact that online renewals are given a processing priority over paper renewals. • Make the link to online renewals more obvious on the Commission's Web site. 	<p>To encourage more educators to renew their credentials online, the certification division will gather data on and study the percentage of renewals it received online for different types of credentials to identify areas where additional outreach efforts may be necessary. The Commission staff will review this data on a quarterly basis to determine effective outreach programs.</p> <p>The Commission staff launched a redesigned Web site on January 3, 2005. The organization of the redesigned site is based on the questions asked on the phones and in e-mails. To date, the Commission staff has received positive feedback from its stakeholders.</p> <p>Also, the certification division has done the following:</p> <ul style="list-style-type: none"> • Publicized the fact that online renewals are given a processing priority over paper renewals. The Commission staff sent out a press release and encouraged educational organizations to include the information in their member newsletters. This information was disseminated widely at the 2005 conference of the Credential Counselors and Analysts of California, attended by approximately 900 district, county and IHE representatives. • Made the link to online renewals more obvious on the Commission's Web site. The Commission staff included a link entitled "Renew Your Credential" as the first menu option on the Commission's homepage. Once an

CALIFORNIA COMMISSION ON TEACHER CREDENTIALING
Responses To BSA Audit Report Recommendations

Audit Report Recommendations	Commission Responses
	individual clicks on to this link, the next step allows the individual to choose to renew his or her credential on-line.
CHAPTER 3	
The Commission should develop an overall plan to guide its efforts to finish implementing program standards by the act and to guide its ongoing standard setting activities that include timelines and resources it plans to use.	<p>The Commission has completed its efforts to finish implementing program standards mandated by SB 2042. The Commission will, by Spring 2006, develop a plan to guide its ongoing standard setting activities including timelines and required resources.</p> <p>The Commission staff has finished its work related to the development and implementation of program standards pursuant to SB 2042 with the exception of the implementation of the Teaching Performance Assessment (TPA). Program sponsors have submitted responses to the standards according to the timelines adopted by the Commission. The Commission agrees that a long-range plan with associated timelines for reviewing and updating future program standards would be a helpful planning tool. Staff will develop a plan in 2006.</p>
To ensure that it objectively appoints education professionals to its advisory panels, the Commission should develop a methodical approach that includes evaluating candidate's qualifications against the Commissions qualifications.	To ensure that it objectively appoints education professionals to its advisory panels, the Commission staff has developed a methodical approach to the appointment of advisory panels that includes evaluating a candidate's qualifications against the Commission's qualifications. Applicants complete standardized application forms and submit resumes. Each applicant is reviewed and ranked before the committee deliberates and develops recommendations for consideration by the Executive Director who consults with members of the Commission before making appointments. Commission staff will request the Commission to consider revising its protocols for the appointment of advisory panels by

CALIFORNIA COMMISSION ON TEACHER CREDENTIALING
Responses To BSA Audit Report Recommendations

Audit Report Recommendations	Commission Responses
	December 31, 2005.
To provide the Commissioners with a better perspective on the results of the field review surveys, commission staff should present the actual results for each standard.	To provide the Commissioners with a better perspective on the results of the field review surveys, Commission staff will present the actual results for each standard. Staff is prepared to provide the Commissioners with detailed results for each standard the next time program standards are developed.
The Commission should follow its record retention policy to ensure that important documents are maintained for a specified time in case they are needed later for general information, research, or legal proceedings. The Commission should also implement a policy to designate the specific standard setting records that should be retained, the length of time to retain them, and the locations and format – paper or electronic – in which they should be stored.	<p>The Commission staff will follow its record retention policy to ensure that important documents are maintained for a specified time in case they are needed later for general information, research, or legal proceedings.</p> <p>The Commission staff will also request the Commission to implement a policy in 2006 to designate the specific standard setting records that should be retained, the length of time to retain them, and the locations and format – paper or electronic – in which they should be stored.</p>
To ensure that colleges and universities operate programs that meet the Commission’s standards, the commission should promptly resume continuing accreditation reviews. Further, it should take steps to promptly complete the evaluation and revision of its accreditation policy.	The Commission continues to be fully engaged in the evaluation and revision of its accreditation framework and significant progress has been made on this complex issue. The Committee on Accreditation and the Accreditation Study Work Group has developed recommendations and options for Commission consideration. The Commission considered the report of the Committee on Accreditation and the Accreditation Study Work Group at its meeting on October 6, 2005. The Commission directed staff to send the recommendations to the field for review and comment. The survey instrument is being drafted and should be available for public comment by December 1, 2005. Should the Commission decide to move forward with implementing a revised accreditation system, a transitional period would be necessary as the program sponsors have advocated for a 24 month lead time prior to being subject to a review.

CALIFORNIA COMMISSION ON TEACHER CREDENTIALING
Responses To BSA Audit Report Recommendations

Audit Report Recommendations	Commission Responses
	The Commission is working with the Administration to resolve the funding and policy issues concerning accreditation.
EXECUTIVE SUMMARY	
To better plan and evaluate its efforts, the commission should regularly update its strategic plan and quantify performance measures in terms of the results to be achieved of all tasks where appropriate.	To better plan and evaluate its efforts, the Commission will regularly update its strategic plan and quantify performance measures in terms of the results to be achieved of all tasks where appropriate. Historically, the Commission staff regularly updates its strategic plan and quantifies performance measures where appropriate. The Commission's Executive Committee discussed this topic at its meeting on May 31, 2005. With the appointment of eight new Commissioners -- a majority of the existing Commission -- and the election of a new Chair and Vice Chair from among these appointments, it is an appropriate time to revisit the manner in which the Commission reviews and updates the strategic plan and quantifies performance measures. The Commission anticipates the strategic plan will be updated in the Spring of 2006, a timeframe that allows for the likelihood of new appointments for the remaining vacancies.